

ADMINISTRATIVE
INTERNAL USE ONLY

Control of the Official Personnel Folder

STATINTL

Headquarters Handbook [REDACTED] describes the control of the Official Personnel Folder. This Handbook provides---

---Files may be lent only to specific designees of operating officials and higher individuals.

---That designee is responsible for the control of the OPF within his operating office.

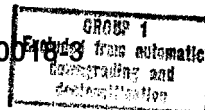
---To transfer outside approval must be obtained from the Head of the individuals Career Service.

---When transferring between operating offices the Office of Personnel must be notified by Form 198a, "Certified Transfer Report".

This is a tight control, however, it does not require a receipt that the OPF has been received by the requestor when it is sent through the mails. It also does not provide an inventory of what OPFs are out and where they are. It also puts the responsibility on the Operating Official within his area for file location control. IG Recommendation No. 14 states "That the Director of Personnel initiate prompt action to ensure positive and continuous control and location of all Official Personnel Files. This should include scheduled physical inventory of files to verify location and control records." The present system should take care of the first sentence of the IG's Recommendation.⁽¹⁴⁾ We can add to that a tear off receipt to ensure a record that the file was received. This will be only as good as the administrative discipline within the Agency. It is my understanding that a document receipt system elsewhere in the Agency fails for lack of discipline.

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With regard to the second sentence in the IG's Recommendation⁽¹⁴⁾
A computer inventory control system can be established similiar to the control for the receipt of Fitness Reports. This will require a form be developed for computer input by the Status Section. Reports can be structured as we find feasible. There will also have to be a transfer input and a delete input when the OPF is returned to the file room. This would provide an inventory of where OPF's are and how long they have been there.

Such a system would be contingent on---

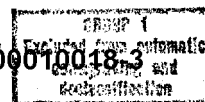
---Daily input by Status Section.

---Daily update of the system by OCS.

---At least one additional typist in Status Section possibly two.

The effectiveness of the system would be in direct relationship with the compliance with instructions. Administrative discipline.

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Rescission: HB [REDACTED]

1. GENERAL

- a. This handbook prescribes procedures for strict control of the loan of Official Personnel Folders on STAFF EMPLOYEES while at the same time making the folders readily available for use by authorized officials in connection with personnel management actions. Basic policy on the control of personnel records is set forth in HR [REDACTED]
- b. An Official Personnel Folder is the permanent Federal record of an employee's status and service and contains the basic information for determining his rights and entitlements as an employee of the U.S. Government. It is the Agency's depository for official personnel information pertaining to the employee and shall contain all information which should be considered by competent authority in conjunction with possible personnel actions.

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2. AUTHORIZED OFFICIALS

- a. Official Personnel Folders may be lent only to the following officials and their specific designees:

Director of Central Intelligence
Deputy Director of Central Intelligence
Executive Director-Comptroller
Deputy Director for Science and Technology
Deputy Director for Plans
Deputy Director for Intelligence
Deputy Director for Support
Inspector General
General Counsel
Operating Officials

- b. The officials listed above shall inform the Director of Personnel by use of Form 198d, Designation of Authorized Official (figure 1), of those persons they have designated to request the loan of Official Personnel Folders. (Forms available from the Office of Personnel.) They shall report promptly to the Office of Personnel invalidations or changes in designations. Designations should be limited to personnel and administrative officers serving a specific organizational component and should be held to a minimum to ensure effective record control.

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3. CONTROLLED-LOAN PROGRAM

- a. Official Personnel Folders are lent on an EYES ONLY basis, for an initial period of not more than ten workdays, to authorized officials, upon submission to the Files Section, Transactions and Records Branch, Personnel Operations Division, Office of Personnel, (hereinafter referred to as Files Section, Office of Personnel) of a completed and signed Form 198, Certified Loan Request (figure 2). In case of urgent need, an authorized official may request a folder by telephone, in which case the Files Section, Office of Personnel, shall complete the Form 198 and send it with the folder for the borrower to sign and return.
- b. Authorized officials who borrow Official Personnel Folders shall return them promptly to the Office of Personnel. If they need the folder longer than the maximum ten day period, they may request an extension by telephoning the Files Section, Office of Personnel. No single extension shall be granted for more than ten additional workdays.
- c. Except as provided in subparagraph d below, the Office of Personnel shall lend an employee's Official Personnel Folder only to an authorized official who is the Head of the employee's Career Service or who has supervisory jurisdiction over the employee concerned.
- d. If an authorized official (other than the Head of the employee's Career Service) requests the Official Personnel Folder on an employee NOT under his supervisory jurisdiction, the Office of Personnel shall, before releasing the folder, obtain the consent of both the Head of the employee's Career Service and an authorized official who has supervisory jurisdiction over the employee.

4. TRANSFER OF FOLDERS

- a. When an authorized official has been loaned the Official Personnel Folder of an employee under his supervisory jurisdiction, he shall not transfer that folder to an authorized official OUTSIDE his own Operating Office* without first obtaining approval from the Head of the Career Service of the employee concerned.
- b. When an authorized official has been loaned the Official Personnel Folder of an employee NOT under his supervisory jurisdiction, he

*For purposes of this handbook Operating Office is the area of jurisdiction of an Operating Official or the immediate office of other officials listed in subparagraph 2a above.

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shall not transfer that folder to an authorized official OUTSIDE his own Operating Office without first obtaining approval from both the Head of the Career Service of the employee concerned and an authorized official who has supervisory jurisdiction over the employee.

- c. When an Official Personnel Folder is transferred between Operating Offices, the authorized official who transfers the folder must report this action by completing and signing Form 198a, Certified Transfer Report (figure 3), and forwarding the form to the Files Section, Office of Personnel. (A supply of Form 198a is contained in an envelope fastened on top of the documents filed on the right side of the Official Personnel Folder.)
- d. When an Official Personnel Folder is transferred WITHIN an Operating Office, it is not necessary to complete a Form 198a. The authorized official who obtained the folder initially shall continue to have personal responsibility for the control and the security of the file. The control should include a positive method for quick location and recovery of the file in the event the Director of Personnel has need to recall it.
- e. Each authorized official who obtains an Official Personnel Folder from the Office of Personnel or to whom a folder is transferred is responsible for ensuring that the folder is made available only to those individuals who have an official need for it.

5. CONTROL AND PROTECTION OF FOLDER CONTENTS

- a. Persons other than the Director of Personnel and his designees are prohibited from removing material from or adding material to Official Personnel Folders. Officials authorized to request the loan of folders must ensure stringent control of this prohibition in their respective offices. Documents which should be filed in an Official Personnel Folder shall be forwarded to the Files Section, Office of Personnel with a request that the documents be included in the file of the employee concerned.
- b. If for operational or security reasons a personnel information document should not be placed in an employee's Official Personnel Folder, the Operating Official or the Head of Independent Office concerned shall mark the document "EYES ONLY" and forward it to the Director of Personnel for inclusion in a special file maintained for this purpose.
- c. If a personnel information document is so sensitive that it should be retained by the operating component, the Operating Official or

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the Head of Independent Office concerned shall make a report of its existence to the Director of Personnel.

6. TRANSMITTAL OF FOLDERS

- a. Official Personnel Folders shall, to the maximum extent practicable, be hand-carried between authorized officials or between an authorized official and the Office of Personnel.
- b. Under conditions which make the hand-carrying of Official Personnel Folders impractical, they may be transmitted by the regular Agency mail and courier service, provided they are enclosed in a sealed envelope which is prominently marked "EYES ONLY" and is addressed either to an authorized official or to the Office of Personnel. (Special envelopes for this purpose may be obtained from the Files Section, Office of Personnel.)

7. USE OF BIOGRAPHIC PROFILE IN LIEU OF OFFICIAL PERSONNEL FOLDER

- a. A Biographic Profile (prepared by the Office of Personnel on Form 1200) is a summary of the information contained in an Official Personnel Folder and can often serve as an effective substitute for the folder. The Biographic Profile is particularly useful when background, qualification, or service record information is needed for a longer period than that permitted for loan of the Official Personnel Folder.
- b. Officials authorized to borrow Official Personnel Folders may obtain Biographic Profiles from the Qualifications Analysis Branch, Personnel Operations Division, Office of Personnel, on request by memorandum or, in case of urgent need, by telephone.
- c. Since the information in a Biographic Profile is obtained from an Official Personnel Folder, the provisions of paragraphs 3, 4, and 6 above, applicable to the control of Official Personnel Folders, are also applicable to the control of Biographic Profiles, except that there is no requirement for the preparation of Form 198, Certified Loan Request, or Form 198a, Certified Transfer Report.
- d. All authorized officials are encouraged to use a Biographic Profile in lieu of an employee's file to help reduce the traffic in Official Personnel Folders.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE
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 for Support

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